

**THE PUBLIC INTEREST ENERGY RESEARCH (PIER) PROGRAM**  
ENERGY SYSTEMS RESEARCH OFFICE  
ENERGY SYSTEMS INTEGRATION

**REQUEST FOR PROPOSALS**

**RFP # 500-09-502**

***Research, Development, and Demonstration Projects:***

Defining the Pathway to the California Smart Grid of 2020

For Publicly Owned Utilities



State of California  
California Energy Commission  
January, 2010

Questions or clarifications about this RFP should be directed to:

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California Energy Commission  
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**This RFP is available on the following Web Sites:**

Energy Commission <http://www.energy.ca.gov/contracts>  
California State Contracts <http://www.bidsync.com>

**The Terms and Conditions for this RFP are available at the following Web Sites:**

**General Terms and Conditions:** <http://www.energy.ca.gov/contracts/pier.html>

**PIER CONTRACTORS' GENERAL INFORMATION:**

**PIER Terms and Conditions-** Standard PIER Terms and Conditions

**Copies of this RFP may be obtained by writing or calling:**

California Energy Commission  
1516 Ninth Street, MS-18  
Sacramento, California 95814  
Telephone: (916) 654-4392  
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## I. **INTRODUCTION**

### **RFP Organization**

This Request for Proposals (RFP) is organized into the following sections:

Section I	Introduction
Section II	Goals and Objectives of this RFP
Section III	Evaluation Process and Criteria
Section IV	Administrative Information
Section V	Proposal Format and Required Documents
Section VI	RFP Attachments (Including Forms)

### **Key Activities and Dates**

Key activities and dates for this RFP are presented below. This is a tentative schedule. Please call the Commission Contracts Office to confirm dates.

ACTIVITY	Action Date
RFP Release	February 1, 2010
Pre-Bid Conference	February 16, 2010
Deadline for Submittal of Questions, no later than 3 PM	February 16, 2010
Distribute Questions/Answers and Addenda (if any) to RFP	February 22, 2010
<b>Deadline to Submit Proposals, no later than 3 PM</b>	March 10, 2010
Interviews with Bidders (if necessary)	March 22-26, 2010
Posting of Notice of Proposed Awards	April 14, 2010
Commission Business Meeting	June, 2010
Agreement Start Date	July, 2010
Agreement End Date	December, 2011

### **Pre-Bid Conference**

There will be one Pre-Bid Conference; participation in this meeting is **optional** but encouraged.

The Pre-Bid Conference will be held at the date, time and location listed below. Please call (916) 654-4392 or refer to the Energy Commission's website at [www.energy.ca.gov](http://www.energy.ca.gov) to confirm the date and time.

#### **February 16, 2010, 10 a.m.**

California Energy Commission  
Hearing Room B; First Floor  
1516 9th Street  
Sacramento, CA 95814  
Telephone: (916) 654-4392

## I. **INTRODUCTION**

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### **Participation through WebEx**

#### **With a Direct Phone Number**

1. Please go to <https://energy.webex.com> and enter the unique meeting number: 927 257 532
2. When prompted, enter your information and the following meeting password: [meeting@10am](#)
3. After you login, a prompt will appear on-screen for you to provide your phone number. In the Number box, type your area code and phone number and click OK to receive a call back on your phone for the audio of the meeting. International callers can use the "Country/Region" button to help make their connection.

#### **With an Extension Phone Number**

1. Please go to <https://energy.webex.com> and enter the unique meeting number: 927 257 532
2. When prompted, enter your information and the following meeting password: [meeting@10am](#)
3. After you login, a prompt will ask for your phone number. CLICK CANCEL.
4. Instead call 1-866-469-3239 (toll-free in the U.S. and Canada). When prompted, enter the meeting number above and your unique Attendee ID number which is listed in the top left area of your screen after you login. International callers can dial in using the "Show all global call-in numbers" link (also in the top left area).

#### **Telephone Only (No Computer Access)**

1. Call 1-866-469-3239 (toll-free in the U.S. and Canada) and when prompted enter the unique meeting number above. International callers can select their number from <https://energy.webex.com/energy/globalcallin.php>

#### **Technical Support**

For help with problems or questions trying to join or attend the meeting, please call WebEx Technical Support at 1-866-229-3239.

System Requirements: To see if your computer is compatible, visit <http://support.webex.com/support/system-requirements.html> and refer to the "WBS 26 System Requirements" section at the bottom

**\*\*Please be aware that the workshop's WebEx audio and onscreen activity may be recorded.**

### **Questions**

During the RFP process, questions of clarification about this RFP must be directed to the Contracts Officer listed in the following section. You may submit questions up to 3:00 pm on the date listed in the Key Activities and Dates. Questions may be submitted in writing via mail, electronic mail, FAX, verbally and by phone. Question and answer sets will be sent to all parties who requested a copy of this RFP from the Commission Contracts Office. The questions and answers will also be posted on the Commission's website at:

<http://www.energy.ca.gov/contracts>

Any verbal communication with a Commission employee concerning this RFP is not binding on the State and shall in no way alter a specification, term, or condition of the RFP.

### **Contact**

Rachel Grant, Contracts Officer  
California Energy Commission  
1516 Ninth Street, MS-18  
Sacramento, California 95814  
Telephone: (916) 654-4379  
FAX: (916) 654-4423  
E-mail: [rgrant@energy.state.ca.us](mailto:rgrant@energy.state.ca.us)

## I. **INTRODUCTION**

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### **RFP Purpose**

The prior RFP captured the perspectives of the Investor Owned Utilities and the vendor and manufacturing sector. The purpose of this Request for Proposals (RFP) is to select the best qualified contractor to conduct Smart Grid research from the public utility perspective. The Prime Contractor shall be a private entity representing the perspective of the publicly owned utilities. The goal of the awarded contract will be to define in detail the elements, technologies, end-use applications, and business cases for the Smart Grid for California for the years 2010 and 2020. The research will also detail all anticipated benefits to California.

This RFP will focus on the Smart Grid, including the following areas:

- ☐ Identify key Smart Grid drivers, including the top California energy policy goals.
- ☐ Definition of Smart Grid for California in 2010 as a baseline year, and 2020 as the projected end point.
- ☐ Identify Smart Grid technologies and the minimum number of use cases to understand the applications of these technologies.
- ☐ Identify and quantify potential costs and benefits for the prospective Smart Grid 2010 and 2020 periods.
- ☐ Develop plans that define Smart Grid technologies
- ☐ Define the appropriate codes, standards, and protocols for the Smart Grid 2020
- ☐ Provide an implementation schedule of activities required for all technologies defined in the Smart Grid 2020.

### **Background**

In recent years, the term Smart Grid has become a popular buzzword. However, varying perspectives on what a Smart Grid is can be cited. Perspectives range from an emphasis on infrastructure to an emphasis on new paradigm-shifting applications in the electric power industry. For example, automation of demand response and automaton of distribution operations are some cited applications of a smart grid. Alternatively, the smart grid can be thought of as the information pipeline that enables the desired applications. A cohesive California view of the Smart Grid is needed. Furthermore, clarity and direction are needed to develop a comprehensive RD&D plan supporting Smart Grid deployment in the state of California. Critical technology areas and gaps need to be identified and linked to the potential of achieving policy-driven priorities for RD&D.

Additionally, the new National Energy Independence and Security Act signed in December 2007, include a separate title that addresses specifically what the Smart Grid of the future is expected to include. According to Section 1301 of Title XIII, the Smart Grid contains:

- ☐ Digital information and controls.
- ☐ Dynamic optimization with cyber-security.
- ☐ Distributed Resources and Distributed Generation, including renewable energy.
- ☐ Demand Response and Energy Efficiency.
- ☐ Smart technologies for metering, grid communications and distribution automation.
- ☐ Smart appliances and consumer devices.
- ☐ Advanced storage and peak-shaving technologies, including plug-in electric-hybrid vehicles (PHEVs) and thermal-storage air conditioning (A/C).
- ☐ Information and control options to consumers.
- ☐ Standards for communication and interoperability.
- ☐ Identification and lowering of barriers.

## I. INTRODUCTION

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There are numerous challenges the California electric utility industry will face while implementing the Smart Grid of the future. Among these are systems interoperability, communications and common information model standards, implementation schedules, well-defined interfaces and adapters to legacy systems. In addition to the technology issues are cost benefit justifications, risk capital investment, and regulatory and stakeholder approval processes. Successful implementation of the future Smart Grid requires a well-developed framework, which accommodates a broad range of project scopes and activities delivering quantified value to stakeholders.

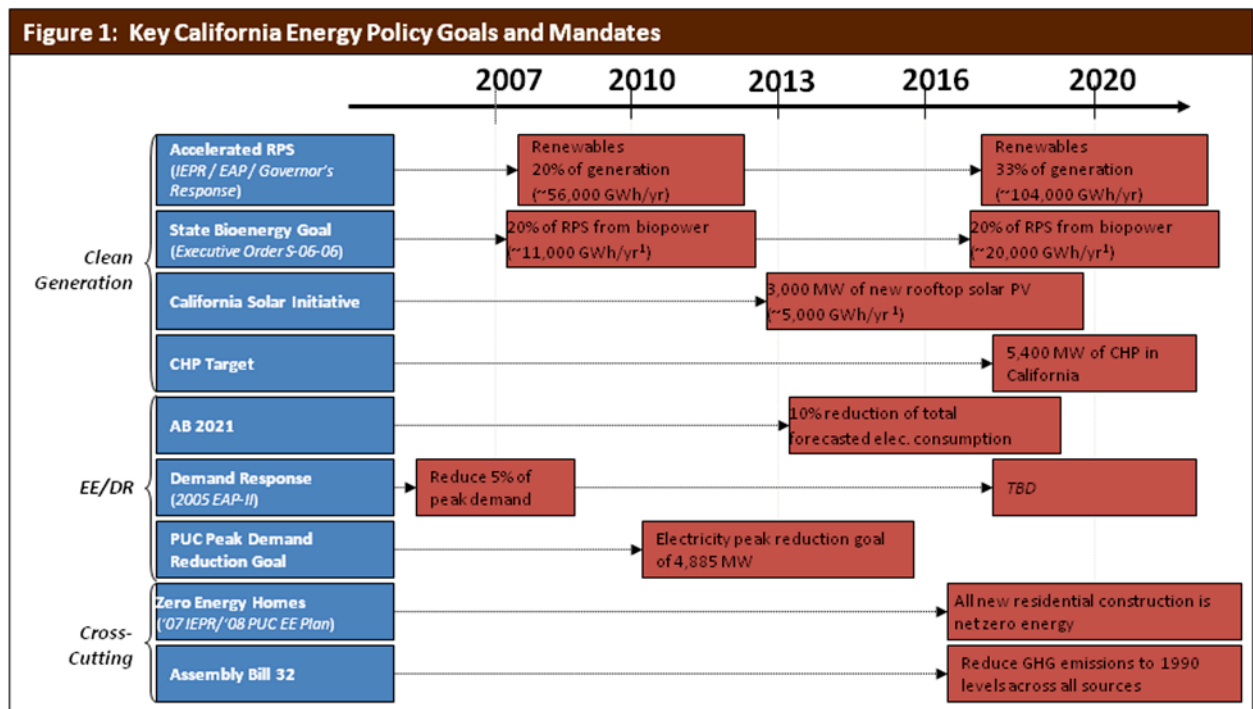
To meet these challenges, California needs to develop a definition of what the Smart Grid of the future will be in California and then develop a roadmap of key activities and accomplishments to get there. A key element of this definition and roadmap will be obtaining stakeholder consensus on the appropriate standards, codes and protocols. When developing this definition and roadmap, it will be important to include the major initiatives and policies that are currently impacting California. Some of these include:

1. The ongoing implementation of new Advanced Metering Infrastructure (AMI) systems by many of the California utilities.
2. The state's Renewable Portfolio Standard (RPS), including operating the Smart Grid of the future with a substantial increased percentage of renewable resources.
3. Greenhouse gas reduction goals, as define in Assembly Bill 32 (Nunez, Chapter 488, Statutes of 2006) and other state directives.
4. Aggressive energy efficiency and demand response goals, as defined by state directives.
5. Modernizing the aging utility grid infrastructure.
6. Meet the future energy growth needs of California with new and innovative technologies, including:
  - ☐ Utilizing existing assets more efficiently
  - ☐ Less environment impact on the state
  - ☐ Meeting stringent costs/benefit assessments
  - ☐ Provides ratepayers and customers of California new options in meeting their individual energy needs

This research effort will provide substantial information on developing this Smart Grid definition and help California move forward in implementing the Smart Grid of the future. The timing is critical because there are new and emerging products entering the marketplace almost daily and the California utilities are being pressured to upgrade their system to meet the future needs of renewable integration, increased efficiency, reduced greenhouse gas (GHG) emissions and to lower system costs. The Smart Grid of the future is expected to provide those benefits and more.

## I. INTRODUCTION

Figure 1, Illustrates the key California energy policy goals this RFP plans to address.



### Who can bid on this RFP?

This solicitation is restricted to private entities, including non-profit organizations and private universities, representing the perspective of the publicly owned utilities. Public entities, such as government agencies, public universities and colleges, Department of Energy National Laboratories, cannot apply as bidders. The Energy Commission will screen out and eliminate from any further consideration any proposal from a public entity bidder. However, public entities can participate as subcontractors to private-entity applicants.

The prime contractor can only submit one proposal, but there are no limits on the the number of proposals that an entity can participate as subcontractor. A prime contractor from one proposal may be a subcontractor on another proposal.

### Funding Level

The Energy Commission anticipates awarding up to \$500,000 of FY 2009/2010 Electricity funding for this RFP for one contract but reserves the right to alter this amount up or down and to make multiple awards. The Energy Commission also reserves the right to make no awards. If funds are reduced, the selected Contractor(s) and Commission Contract Manager (CCM) shall meet and reach agreement on a reduced scope of work commensurate with the level of available funding.

### Public Interest Energy Research (PIER) Program

In 1996, Governor Wilson signed into law Assembly Bill (AB) 1890 (Brulte, Chapter 854, Statutes of 1996) which provided authority for a fundamental restructuring of California's electric services industry. Among other things, AB 1890 required that at least \$62.5 million be collected annually from investor-owned electric utility ratepayers for "public interest" energy RD&D efforts not adequately provided by competitive and regulated markets. The California Energy Commission administers these funds through the PIER program.



## I. **INTRODUCTION**

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In August of 2004, the California Public Utilities Commission (CPUC) issued Decision (D.) 04-08-010 making funds available for public interest natural gas research and development (R&D) projects. For FY 2008, the CPUC authorized \$21 million for PIER funding. Public Interest Natural Gas Research must conform to all of the following criteria:

- ☐ Advances science or technology.
- ☐ Research benefits accrue to California citizens.
- ☐ The research is not adequately addressed by competitive or regulated entities.
- ☐ Extends the use of renewable energy for industrial applications.

In general, the research funded by this program should improve natural gas energy efficiency, electricity efficiency, and environmental quality, develop renewable technologies, and otherwise provide benefits to the public. The funds for this solicitation are from the Electricity program.

PIER brings new energy services and products to the marketplace and creates state-wide environmental and economic benefits. PIER funding efforts are focused on the following RD&D program areas:

1. Buildings End-Use Energy Efficiency
2. Energy-Related Environmental Research
3. Energy Systems Integration
4. Environmentally-Preferred Advanced Generation
5. Industrial/Agricultural/Water End-Use Energy Efficiency (IAW)
6. Renewable Energy Technologies
7. Transportation Research

Significant energy issues in each of the PIER program areas have been identified. The PIER program focus has been directed towards resolving these issues and meeting the overall PIER objectives of improving affordability, reliability, health and safety, California's economy, environmental outcomes, and consumer choices relevant to electricity supply and use in California.

### **Match Funding Requirements**

Match funding is evaluated and scored as part of the technical and policy evaluation criteria. For additional information regarding match funding, see Section III, Evaluation Process and Criteria, and Section V, Proposal Format and Required Documents.

Projects whose results are more likely to lead to products and services that can be commercialized in the near future will generally need a higher percentage of matching funds than projects whose results are further removed in time from commercialization.

Match funding may be cash, in-kind services or a combination of the two. In-kind contributions include, but are not limited to, donated labor hours, equipment, facilities, property, and arrangements with project partners to bring the results of the project to the market. Equipment, facilities (e.g. laboratory space) and most property can count as match funds as long as they are fully dedicated to the project for the time the equipment, facility or property is required by the Agreement, and as long as the value of the contribution is based on documented market values or book values and is depreciated or amortized over the term of the project using standard accounting principles. Equipment, facilities and property that do not qualify as match funds include such items as standard office supplies and property or equipment that is part of the Bidder's normal business activity (desks, typewriters, telephones, computers, software, etc.).

Prior investments in the research to be conducted in this project do not qualify as match funds. Also, funding from other Commission projects or agreements does not qualify as match funding.

## I. **INTRODUCTION**

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Budgets must show match fund contributions at the task level. Match fund contributions must be spent concurrently with PIER Program funds, and only on the tasks described in the proposal.

Neither PIER funds nor match funds can be spent until the Department of General Services, Office of Legal Services (DGS-OLS) approves the Agreement which has already been signed by both the Contractor and the Commission.

The Commission reserves the right to review and approve or disapprove the crediting of contributions and the amounts of those contributions as match funding. The loss of match funds during the Agreement is a reason for the Commission to hold a Critical Project Review and may result in the termination of the Agreement.

### **Equipment Purchases**

We recommend that Bidders use their own funds as well as other sources of funds which would be considered match funds to procure and/or build equipment. If State funds are used to purchase or build equipment, the State retains ownership interest in the equipment (Review within Section IV the part involving *Key Words and Their Definitions* and the PIER Agreement Terms and Conditions for specific requirements<sup>1</sup>).

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<sup>1</sup> Posted on the Commission website: [energy.ca.gov/contracts](http://energy.ca.gov/contracts), PIER Terms and Conditions for specific requirements.

## II. **GOALS AND OBJECTIVES OF THIS RFP**

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### **About This Section**

This section explains in more detail the specific goals and objectives of this RFP. In funding RD&D activities, the PIER Energy Systems Integration Program seeks to advance the technical and market acceptance of promising Smart Grid technologies so that the research achieves the following goals:

- ☐ Identify key Smart Grid drivers, including California energy policy goals that impact the California Smart Grid of 2020.
- ☐ Define the key elements of the Smart Grid for California in 2010, identifying the critical standards, codes, protocols and reference designs that California needs to address for a successful implementation of Smart Grid into publicly owned energy utilities small, medium, and large. Large defined as greater than 100,000 customers, medium as less than 100,000 and greater than 50,000 customers, and small as less than 50,000 customer
- ☐ Identify cost-effective Smart Grid technologies that should be encouraged and demonstrated. Identify the critical use cases that should be developed to explain how these technologies will be utilized as part of the 2020 California Smart Grid for publicly owned energy utilities small, medium, and large.
- ☐ For key technologies, identify critical barriers necessary to overcome the proposer's definition of the California Smart Grid of 2020. The proposer should provide recommended course of action to address the identified barriers.
- ☐ Identify and quantify potential costs and benefits for key items in both the 2010 and 2020 proposer's Smart Grid definitions.
- ☐ Develop pathways and deployment plan for cost effective Smart Grid technologies for California's publicly owned energy utilities small, medium, and large as the proposer feels they currently exist for 2010 and the technology recommendations for 2020.
- ☐ At a minimum, the proposer must address the integration and implementation of: electricity and natural gas transmission and distribution system Smart Grid technologies, advanced metering infrastructure, home area networks, plug-in hybrids, renewable integration at all levels (generation, transmission, distribution and end use), energy storage technology applications at all levels (generation, transmission, distribution and end use), one-way and two-way communication to support Smart Grid operations, and other technologies the proposer feels is critical to the 2020 California Smart Grid.

The scope of this RFP is to define the key elements, identify the critical technologies, define the most significant systems and make the recommendations required for the contractor's proposed Smart Grid 2020 to be operational and for the contractor to define the pathway items necessary to achieve their definition for Smart Grid 2020.

### **III. EVALUATION PROCESS AND CRITERIA**

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#### **About This Section**

Under this RFP, the Energy Commission makes awards based upon high score. California Public Contract Code Section 10344(c) authorizes this method. The State Contract Manual refers to this as the “secondary” RFP method as opposed to the “primary” method, which makes awards based upon low bid.

This section explains the overall evaluation process and the technical and policy evaluation criteria. It also describes how the proposals will be screened for administrative requirements, completeness, technical eligibility, and fundamental scientific feasibility. It also describes the evaluation stages, preference points, and scoring of all proposals.

The entire evaluation process from receipt of proposals to the posting of the Notice of Proposed Award is confidential.

A Bidder’s proposal will be evaluated and scored based on its response to the information requested in this RFP. During the evaluation and selection process, the Evaluation Committee members, at their sole discretion, may interview a Bidder either by telephone or in person at the Energy Commission, and/or conduct a site visit at the Bidder’s facilities for the purpose of clarification and verification of information provided in the proposal. However, these interviews may not be used to change or add to the contents of the original proposal. The Evaluation Committee may seek input from technical reviewers both internal and external to the Energy Commission when evaluating proposals.

#### **Proposal Screening Process**

##### **Screenings**

All proposals will be initially screened for compliance with administrative requirements, completeness, technical eligibility, and technical feasibility. Proposals that fail any screening will not be evaluated further under this RFP.

##### **Administrative Screening**

If your proposal fails any of these items, it will be rejected immediately.

- ☐ The proposal must be received at the Energy Commission Contracts Office by the time and date indicated in Section I.
- ☐ The proposal must not be marked confidential in any section, or in its entirety. Proposals that are marked confidential in any section or in their entirety will be rejected from further evaluation under this RFP.
- ☐ The proposal must document legal compliance with the participation required pursuant to the Disabled Veteran Owned Business Enterprises (DVBE) program. Proposals not documenting compliance with the DVBE program will be rejected from further evaluation under this RFP.
- ☐ The proposal must not have costs, cost bids, rates, or any part of the budget marked as confidential.
- ☐ The proposal cannot be submitted by a public entity.
- ☐ The private entity bidding cannot submit more than one proposal. If more than one is submitted, the Energy Commission will reject all of the bidder’s proposals.
- ☐ The proposal team must meet the minimum qualifications as defined by the following criteria:
  - Private entity representing the publicly owned utility perspective.

### III. **EVALUATION PROCESS AND CRITERIA**

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#### Completeness Screening

A proposal must follow the format and contain all of the information described in RFP Section V or the proposal will fail the completeness screening and will be rejected prior to the technical evaluations. In particular, proposals will be screened for completeness on the basis of whether or not the proposal contains sufficient information to enable a useful evaluation to be conducted.

#### Technical Eligibility Screening

To be eligible for possible funding under this RFP, proposals must meet all of the following eligibility criteria. Proposals that fail the technical eligibility screening will not be evaluated further under this RFP.

##### Performance Goals Addressed

The proposal must specify goals to be achieved in the proposed research.

##### Impacts and Benefits for California

The proposal must provide clearly identified benefits to California's electricity and/or natural gas ratepayers.

##### Project Manager and Project Team

Project Manager must meet the qualifications of a public utility expert with experience in research and demonstration projects. In addition, the proposal must clearly identify the people making up the project team, their individual responsibilities in conducting the management and research, and their skills and experience in project management and their scientific and/or technical area(s) of responsibility.

The proposal must clearly describe the communication, project tracking and budget management techniques the Project Manager will use to manage project work efforts.

##### California Policies

The proposal must address how the California Smart Grid of 2020 will meet:

- ☐ California's 33% Renewable Portfolio Standard (RPS)
- ☐ Published energy efficiency goals
- ☐ Demand response goals
- ☐ Greenhouse gas reductions goals
- ☐ SB 17 – California Smart Grid Systems

##### Technologies

At a minimum, the following technologies must be addressed:

- ☐ Proposed communications architectures for consumer, utility and overall grid management
- ☐ Application of demand response and home area networks
- ☐ Application of plug-in hybrid vehicles
- ☐ Utility distribution automation and self healing grid technologies
- ☐ Cyber security of grid operation
- ☐ Recommended minimum standards, codes, protocols and reference designs necessary to reach to proposed goals by 2020
- ☐ Application of renewable technology at the transmission, distribution and end use levels

#### Technical Feasibility Screening

Proposals will be evaluated for fundamental feasibility on the basis of whether the proposed work appears to comply with known scientific principles, and if not, whether the work contains a sufficiently sound explanation to justify proceeding with a further evaluation.

### III. **EVALUATION PROCESS AND CRITERIA**

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**Proposals that fail any screening will not be evaluated further under this RFP.**

#### **Scoring Process**

##### Overview of the Evaluation Scoring Process

Proposals must pass the screenings to be eligible for the technical and feasibility evaluation scoring by the Evaluation Committee. During the evaluation process, all proposal evaluators and scorers will keep the contents of the proposals confidential.

The Evaluation Committee will evaluate and score proposals according to the evaluation criteria described below. The minimum passing Technical Evaluation Score is 70. If applicable, the Non-Technical Preference Points are added to the Technical Evaluation Score.

Upon completion of the technical and non-technical evaluation scoring, the Evaluation Committee will prepare a ranked list of the proposals, in descending order, based upon each proposal's total score. The ranked list is a recommendation that will be submitted to the Energy Commission's RD&D Policy Committee for consideration and approval. The RD&D Policy Committee will recommend how far down the ranked list of passing proposals will receive awards. Awards approved by the RD&D Policy Committee will then be considered by the Energy Commission at a Business Meeting.

##### Scoring Scale

The Evaluation Committee will give a score from zero (0) to ten (10) for each criterion described below, based upon the information provided by the Bidder's proposal. Each score will then be multiplied by a weighting factor to obtain the total points for that criterion. Scores will be assigned in accordance with the following guidelines:

0 Points	✓ ✓ ✓	Is not in substantial accord with the RFP requirements. Has a potential significant effect on the amount paid or net cost to the State or the quality or quantity of product and/or service. Provides an advantage to one competitor over the other competitors, for example, not paying minimum wages.
1-3 Points	✓ ✓	The proposal states a requirement, but offers no explanation of how or what will be accomplished. The response contains a technical deficiency which is an inaccurate statement or reference concerning the how, what, where, or when, which is part of an overall statement or description.
4-6 Points	✓	Satisfies the minimum requirements and describes generally how and/or what will be accomplished.
7-9 Points	✓	Satisfies the minimum requirements and specifically describes how and/or what will be accomplished in an <u>exemplary manner</u> , using sample products and illustrative materials (i.e., diagrams, charts, graphs, etc.).
10 Points	✓	Exceeds the minimum requirements and specifically describes how and/or what will be accomplished both quantitatively and qualitatively, using sample products and illustrative materials (i.e., diagrams, charts, graphs, etc.).

### III. **EVALUATION PROCESS AND CRITERIA**

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#### **Technical and Policy Evaluation Criteria**

All proposals that pass the administrative, completeness, technical eligibility, and feasibility screening will be evaluated for merit based on the following criteria:

<b>Detailed Technical, Policy and Cost Scoring Criteria</b>	<b>Maximum Total Score</b>
<b>1. Project Description</b> <ul style="list-style-type: none"><li>a. The proposal provides clear definitions of the elements of the pathway to the 2020 California Smart Grid.</li><li>b. The proposal identifies technologies and capabilities necessary to make the Smart Grid of 2020 operational.</li><li>c. The proposal identifies technologies with commercial potential and a clear connection to the future California market.</li><li>d. The proposal identifies the key market, regulatory, and technology advancement barriers necessary for the Smart Grid to become operational.</li><li>e. The proposal discusses how future PIER funding can best support the proposed implementation of the California Smart Grid of 2020.</li><li>f. The proposal identifies the business case for the proposed pathway to the California Smart Grid of 2020 and justifies why key elements proposed were selected.</li><li>g. The proposal documents and quantifies the baseline conditions of appropriate technologies as well as specific markets expected in 2020.</li><li>h. The proposal describes how the California Smart Grid technologies compares to the technologies expected to be used to support the Smart Grid of other states or the nation.</li><li>i. The proposal identifies the key benefits to the California ratepayer of the technologies and capabilities recommended for the Smart Grid of 2020.</li><li>j. The proposal explicitly describes risks associated with the proposed Smart Grid and describes proposed mitigation strategies.</li></ul>	<b>20 Points</b>
<b>2. Scope of Work</b> <ul style="list-style-type: none"><li>a. The scope of work demonstrates a clear, appropriate and complete plan for achieving the desired Smart Grid elements.</li><li>b. The work schedule is logical, reasonably sequences tasks, and allocates time, labor, equipment and facilities per task.</li><li>c. The scope of work clearly identifies which resource performs the work task and explicitly details project management activities.</li><li>d. The scope of work contains a well defined set of intermediate deliverables and final products that will be delivered and defines a specific market connection for each of the proposed products.</li><li>e. The scope of work includes a clear plan by to coordinate the reporting of information to all contract/project team members and stakeholders.</li></ul>	<b>30 Points</b>

### III. EVALUATION PROCESS AND CRITERIA

Detailed Technical, Policy and Cost Scoring Criteria	Maximum Total Score
<p><b>3. Project Budget (Cost Points)</b></p> <ul style="list-style-type: none"> <li>a. The project budget is consistent with the scope of work and itemizes reasonable costs, including the amount and calculation of Fringe Benefits, Indirect Overhead, General and Administrative, and Profit.</li> <li>b. The project budget shows the total budget, the PIER reimbursable budget, and the match funds budget, indicating all funding sources, for each task described in the scope of work.</li> <li>c. The project budget shows that key personnel and subcontractors will be committed to the project for the appropriate number of hours to accomplish the activities described in the work statement and at reasonable hourly rates.</li> <li>d. The project budget demonstrates that the PIER funds requested are appropriate, relative to the goals and objectives of the project.</li> <li>e. The project budget demonstrates that the PIER funds requested are commensurate with the value of public benefits not adequately addressed by regulated or competitive markets which the project will provide.</li> <li>f. The project budget clearly identifies that the portion of the budget dedicated to research development and demonstration and technology transfer actions are significantly greater than the administrative costs.</li> <li>g. If applicable, the project budget demonstrates that match funding levels are appropriate and well documented.</li> <li>h. If applicable, the project budget shows the match funds are proportional to the ratio of private benefits compared to public benefits of the proposal and the match funds benefit the project goals.</li> <li>i. If applicable, the project budget identifies the type of match funds proposed (e.g., cash and in-kind contributions; direct and indirect; private and public).</li> <li>j. If applicable, the project budget demonstrates that the proposed match funds are secure.</li> <li>k. If applicable, the project budget describes a strategy for project completion even if the proposed match funds are significantly reduced or lost.</li> </ul>	30 Points
<p><b>4. Project Manager and Project Team</b></p> <ul style="list-style-type: none"> <li>a. The project manager has specific organizational, administrative, and team lead skills and a proven track record for managing research projects successfully, including the capability of administering the contract to control costs, maintain the project schedule, provide quality control of the deliverables produced by the team, and communicate effectively.</li> <li>b. The project team has the technical experience and proven skills in the proposed specific technical research area.</li> <li>c. The project team has past success in taking RD&amp;D products to market and the experience, skills, and market connections to help ensure market transfer of the products and knowledge that result from the project;</li> <li>d. The project team has diversity and experience in the skill sets needed to successfully respond to the administration, design, implementation, evaluation, and marketing requirements stated in the RFP.</li> <li>e. The team structure provides clear roles and responsibilities among the team members, and establishes clear lines of communication to ensure that team members share information and meet their individual responsibilities.</li> </ul>	20 Points

#### Summary of Technical Evaluation Score

Minimum Passing Technical Evaluation Points: 70

Total Possible Technical Evaluation Points: 100



### **III. EVALUATION PROCESS AND CRITERIA**

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#### **Non-Technical Preference Points**

A Bidder may qualify for up to seven categories of non-technical preference points. Each qualifying Bidder with a technical evaluation score of 70 points or greater will receive the applicable preference points. The sum of the Bidder's technical evaluation score and preference points will constitute the Bidder's total score. Proposals will be ranked based upon the Bidder's total score. Forms submitted for preference points must be included in Volume 1.

#### **Small/Micro Business**

Bidders who qualify as a State of California certified small business or who self-certify under the Federal Government statutes as a small business will receive five percent (5%) preference points based on the cost points received by the highest scored proposal, if the highest scored proposal is submitted by a business other than a certified small business. Instructions for becoming certified by the State of California as a small or disabled veteran owned business is contained in RFP Attachment 3. (Must declare this on Attachment 1, Application Form).

#### **Non-Small Business**

Government Code Section 14838(b) (1) (2) now provides for a non-small business preference. The preference to a non-small business bidder that commits to small business or micro-business subcontractor participation of twenty-five percent (25%) of its net bid price shall be five percent (5%) of the highest responsive, responsible bidder's total score (RFP secondary). A non-small business, which qualifies for this preference, may not take an award away from a certified small business. The small business regulations are located at 2 CCR 1896. (Must declare this on Attachment 1, Application Form).

#### **Disabled Veteran Business Enterprise**

The DVBE Incentive program was established pursuant to Military & Veterans Code Section 999.5(2) and Department of General Services' Regulations 2 CCR 1896.98 et seq. The information in Attachment 5 explains how the incentive is applied and how much of an incentive will be given.

#### **California-Based Entity**

Public Resources Code Section 25620.5(h & i) requires the PIER Program to give priority to "California-based entities" (CBEs) when making awards. To implement this law, the Energy Commission will award preference points if the proposal meets the criteria for a CBE as described in Attachment 7.

#### **Target Area Contract Preference Request**

The Target Area Contract Preference Act (Government Code Section 4530 *et seq.*) provides five percent (5%) preference points to California-based companies that perform state contract work in a distressed area. Bidders should complete RFP Attachment 9 if they qualify for this preference. If you have further questions or need additional information on this matter, please contact TACPA/LAMBRA Preference Program Group at (916) 375-4609.

#### **Enterprise Zone Request**

The Enterprise Zone Act (Government Code Section 7070, *et seq.*) provides preference points as an incentive for business and job development in distressed and declining areas of the State. Bidders should review RFP Attachment 10 to determine if they qualify for this incentive. If you have further questions or need additional information on this matter, please contact TACPA/LAMBRA Preference Program Group at (916) 375-4609.

### **III. EVALUATION PROCESS AND CRITERIA**

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#### **Local Agency Military Base Recovery Act**

The Local Agency Military Base Recovery Act (LAMBRA, Government Code Section 7118, et seq.) provides five percent (5%) preference points to California-based companies that perform State contract work in the LAMBRA. Bidders should review RFP Attachment 11 to determine if they qualify for this preference. If you have further questions or need additional information on this matter, please contact TACPA/LAMBRA Preference Program Group at (916) 375-4609.

## IV. **ADMINISTRATIVE INFORMATION**

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### **About This Section**

This section provides Bidders with information on definitions of important terms, sources of information, how to submit a proposal, confidential information, grounds for rejecting a proposal, and other administrative details. Every technical proposal must establish in writing the Bidder's ability to perform the RFP tasks listed in the Scope of Work.

### **Deadline For Submitting a Proposal**

All copies of your proposal must be delivered to the Commission Contracts Office during normal business hours no later than the date specified in the Key Activities and Dates. In accordance with Public Contract Code 10344, proposals received after the specified date and time are considered late and will not be accepted. There are no exceptions to this law.

Please allow enough time to deliver your proposal. The Energy Commission has no flexibility to allow late submissions, even if only a few seconds or minutes late. For this reason, we encourage people who deliver proposals in person to arrive at least by 2:30 to avoid any unexpected delays (e.g., traffic, parking, etc.). The Energy Commission will not accept any proposals delivered after 3:00 pm. NO EXCEPTIONS. Please plan accordingly.

### **Packaging, Labeling, and Delivery Methods for Submittal**

Bidders must submit the original and 7 paper copies of each volume. Bidders **must also submit** electronic files of the proposal on **CD-ROM diskette** along with the paper submittal. Electronic files must be in Microsoft Word XP or 2002 and Excel Office Suite formats. Electronic files submitted via e-mail will not be accepted. The original and copies of each volume must be labeled "Request for Proposal 500-09-502," and include the title of the proposal and the appropriate volume number:

"Volume 1 – Administrative Section"

"Volume 2 – Technical and Cost Sections"

Label and deliver your proposal, in a sealed package, as follows:

Person's Name, Phone # Bidder's Name Street Address City, State, Zip Code	<b>RFP # 500-09-502</b> Contracts Office, MS-18 California Energy Commission 1516 - 9th Street, 1st Floor Sacramento, CA 95814
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A Bidder may deliver a proposal by:

- ☐ U. S. Mail
- ☐ Personally
- ☐ Courier service

Postmark dates of mailing, E-mail and facsimile (FAX) transmissions are not acceptable in whole or in part under any circumstances.

## **IV. ADMINISTRATIVE INFORMATION**

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### **Confidential Information**

No confidential information will be accepted during the proposal and selection phase of this solicitation. If any confidential information is submitted, the entire proposal will be rejected and will not be eligible for funding. Proposals containing confidential information will be returned to the Bidder.

The use of confidential information will also not be accepted as part of projects that are funded.

### **Energy Commission's Confidential Treatment of Proposals**

From the beginning of the RFP process until the evaluation is complete and the Notice of Proposed awards is posted or the RFP is cancelled, the Commission is required to hold all information received from Bidders as confidential. However, **proposals and all submittals will become public records** after the Commission completes the evaluation and/or scoring process and the Notice of Proposed Awards is posted or the RFP is cancelled.

### **Darfur Contracting Act of 2008**

Effective January 1, 2009, all Requests for Proposals (RFP) must address the requirements of the Darfur Contracting Act of 2008 (Act). (Public Contract Code sections 10475, et seq.; Stats. 2008, Ch. 272). The Act was passed by the California Legislature and signed into law by the Governor to preclude State agencies generally from contracting with "scrutinized" companies that do business in the African nation of Sudan (of which the Darfur region is a part), for the reasons described in Public Contract Code section 10475.

A scrutinized company is a company doing business in Sudan as defined in Public Contract Code section 10476. Scrutinized companies are ineligible to, and cannot, bid on or submit a proposal for a contract with a State agency for goods or services. (Public Contract Code section 10477(a)).

Therefore, Public Contract Code section 10478 (a) requires a company that currently has (or within the previous three years has had) business activities or other operations outside of the United States to certify that it is not a "scrutinized" company when it submits a bid or proposal to a State agency. (See # 1 on Attachment 12).

A scrutinized company may still, however, submit a bid or proposal for a contract with a State agency for goods or services if the company first obtains permission from the Department of General Services (DGS) according to the criteria set forth in Public Contract Code section 10477(b). (See # 2 on Attachment 12).

### **Disabled Veteran Business Enterprises (DVBE) Compliance Requirements-**

The Disabled Veteran Business Enterprise (DVBE) Program has two inter-related aspects:

**Participation Goals:** This RFP is subject to a participation goal of three percent (3%) certified California Disabled Veteran Business Enterprise (DVBE) as set forth in Public Contract Code Section 10115 et seq.

And,

**Incentive:** The DVBE Incentive Program gives a contractor an opportunity to improve their bid status based on the efforts attained from the DVBE Participation Program.

More information regarding DVBE and Small Business is located in Attachments 3 and 4.

### **Reimbursement for the Cost of Preparing a Proposal**

The Bidder is responsible for the cost of developing a proposal, and this cost cannot be charged to the State or the Energy Commission.

## **IV. ADMINISTRATIVE INFORMATION**

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### **Repayment**

#### **Requirements**

There are two options under this RFP. PIER funds will be provided (a) with royalty payment provisions; or (b) through an exemption, without royalty payment provisions. Repayment is based on royalties once the Contractor generates gross revenues, or a subcontractor generates gross revenues that are paid to the Contractor.

Except as otherwise provided in the "Royalty Exemption Option" discussed below, all parties receiving funds from this RFP will be required to repay one and one-half percent (1½%) of the sales price of each project-related product or right for fifteen (15) years from the first date of sale, as further defined in the PIER Agreement terms and conditions.<sup>2</sup> Alternatively, there is a "Buyout Option" of two (2) times the amount of the PIER funding award, payable within two (2) years from the date royalties are first due.

#### **Exemption**

At the discretion of the Commission, a research project may be exempted from the general royalty requirements of this RFP if:

- ☐ The research project in question is primarily expected to produce new knowledge and/or understanding of the subject under study, rather than any commercial application of that knowledge, within the next 10 years (e.g., basic research); and
- ☐ The Bidder agrees to place all intellectual property developed from the project into the public domain.
- ☐ To request exemption from the royalty repayment requirement, the Bidder must check the exemption box on RFP Attachment 1, "Application and Project Information Form," section 6 and must provide an explanation on Attachment 14.

### **Cancellation or Amendment of this RFP**

If it is in the State's best interest, the Commission may amend or cancel this RFP. It is the policy of the Commission not to solicit proposals unless there is a bona fide intention to award an Agreement. The Commission reserves the right to do any of the following:

- ☐ Cancel this RFP
- ☐ Amend or revise this RFP as needed; or
- ☐ Reject any or all proposals received in response to this RFP.
- ☐ Increase or decrease the amount of funds available under this RFP.

### **RFP Revisions**

If the RFP is changed or revised, the Commission will prepare and mail a formal written addendum to all parties who requested a copy of the RFP from the Commission's Contracts Office and attended the Pre-Bid Conference. In addition, the addendum will be posted on the Energy Commission's Web Site and Department of General Services' Web Site indicated on the back of the RFP cover page. Except for increasing or decreasing the amount of funds available under this RFP, the RFP cannot be revised after proposal due date.

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<sup>2</sup> See previous footnote.

## **IV. ADMINISTRATIVE INFORMATION**

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### **Errors in this RFP Document**

If a Bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in the RFP, the Bidder shall immediately notify the Commission's Contracts Office of such error in writing and request modification or clarification of the RFP. Clarifications will be given by written notice to all parties who have obtained an RFP, without divulging the source of the request for clarification. The Commission shall not be responsible for failure to correct errors.

### **Modification or Withdrawal of a Proposal**

#### **Withdrawal/Modification**

A Bidder may, by letter to the Contracts Officer, withdraw or modify a submitted proposal before the proposal deadline (due date and time) in the RFP Schedule. Proposals cannot be modified or withdrawn after that date and time.

#### **Immaterial Defect**

The Commission may waive any immaterial defect or deviation contained in a Bidder's proposal. The Commission's waiver shall in no way modify the proposal or excuse the successful Bidder from full compliance.

### **Grounds for Rejection**

A proposal **will be rejected** if any of the following occurs:

- ☐ The proposal is not received by the time and date set for receipt of proposal listed in this RFP (Public Contract Code, Section 10344(a)).
- ☐ The proposal contains confidential material.
- ☐ It does not contain a properly executed Contractor Certification Clauses Package
- ☐ The proposal is considered nonresponsive to the DVBE program requirements.
- ☐ It is lacking a properly executed Darfur Contracting Act certification.
- ☐ The proposal does not pass the administrative, completeness, technical eligibility, or technical feasibility screenings.
- ☐ The proposal identifies project costs as confidential (or proprietary), including labor rates, overhead, direct labor, other direct costs, profit, and the like.
- ☐ The bidder is a public entity.
- ☐ The bidder has submitted more than one proposal.
- ☐ The bidder submits loaded rates for itself or any major subcontractor.

A proposal **may be rejected** if:

- ☐ It contains false or misleading statements or references which do not support an attribute or condition contended by the Bidder.
- ☐ The proposal does not comply with or contains caveats that conflict with this RFP.
- ☐ There is a conflict of interest as determined by the Energy Commission. This includes, but is not limited to, the legal conflicts of interest contained in Public Contract Code Sections 10410, 10411 and 10365.5.
- ☐ The proposal is unsigned.
- ☐ The proposal is not prepared in the required format described herein.

## **IV. ADMINISTRATIVE INFORMATION**

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### **Unsuccessful Proposals**

After the NOPA is posted, each unsuccessful Bidder may request a debriefing meeting with the Commission Contracts Office. The debriefing meeting is an opportunity for an unsuccessful Bidder to learn why their particular proposal was not successful and may provide insight to improving proposal preparation for future solicitations.

### **Protest of Awards**

A Bidder may file a protest against the proposed awarding of an Agreement. Once a protest has been filed, Agreements will not be awarded until either the protest is withdrawn or DGS decides the matter. Alternatively, the RFP may be cancelled with no awards being made.

Please note that protests are limited to the following grounds which are contained in the California Public Contract Code 10344(a):

- ☐ The Energy Commission failed to follow the procedures specified in either subdivision (b) or (c) of 10344.
- ☐ The Energy Commission failed to apply correctly the standards for reviewing the format requirements or evaluating the proposals as specified in the RFP.
- ☐ The Energy Commission used the evaluation and selection procedure in subdivision (b) of Section 10344, but is proposing to award the agreement to a Bidder other than the lowest responsible Bidder.
- ☐ The Energy Commission used the evaluation and selection procedure in subdivision (c) of Section 10344, but failed to follow the methods for evaluating and scoring the proposals specified in the RFP.
- ☐ The Energy Commission used the evaluation and selection procedure in subdivision (c) of Section 10344, but is proposing to award the agreement to a Bidder other than the Bidder given the highest score by the Energy Commission Evaluation Committee.

During the five (5) working days that the NOPA is posted, protests must be filed with the DGS Legal Office and the Commission Contracts Office.

Within five (5) days after filing the protest, the protesting Bidder must file with the DGS Legal Office and the Commission Contracts Office a full and complete written statement specifying the grounds for the protest.

If the protest is not withdrawn or the RFP is not cancelled, DGS will decide the matter. There may be a formal hearing conducted by a DGS hearing officer or there may be briefs prepared by the Bidder and the Energy Commission for the DGS hearing officer consideration.

### **Proposal Documents after Award**

On the NOPA posting date, all proposals and related material submitted in response to this RFP become the property of the State and a part of the public record.

### **Bidders' Admonishment**

This RFP contains the instructions governing the requirements for submitting a proposal, the format in which the information is to be submitted, the material to be included, the requirements which must be met to be eligible for consideration, and Bidder responsibilities. Bidders must take the responsibility to carefully read the entire RFP, ask appropriate questions in a timely manner, submit all required responses in a complete manner by the required date and time, make sure that all procedures and requirements of the RFP are followed and appropriately addressed, and carefully reread the entire RFP before submitting a proposal.

## **IV. ADMINISTRATIVE INFORMATION**

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### **Agreement Award**

The Notice of Proposed Awards (NOPA) will be posted for five (5) working days at the Commission's headquarters in Sacramento, and on the Commission's web site. In addition, each Bidder will be mailed a copy of the NOPA.

Upon completion of the five (5) day notice period, Agreement documents will be prepared and sent to successful Bidders for their signatures. If, for any reason, a successful Bidder does not sign the Agreement documents within time allotted, the Commission may eliminate that proposal from its award list and select the next highest ranked proposal for funding.

The Commission will consider approval of each Agreement at a publicly noticed Commission Business Meeting. The Commission at that time may approve more than one Agreement.

### **Conditions or Limits on Awards**

The Commission reserves the right to condition, modify or otherwise limit any and all PIER funding awards made pursuant to this RFP.

### **General Agreement Requirements**

#### **Term of the Agreement**

Refer to the Key Activities and Dates in Section I of this RFP for estimated agreement start and end dates.

#### **Agreement Terms and Conditions**

It is the intention of the Energy Commission to use the applicable PIER Terms and Conditions posted on the Energy Commission's Website for any Agreement awarded as a result of this RFP. However, the Energy Commission reserves the right to change them prior to executing an agreement with the selected Bidder(s). The content of this RFP and the Bidder's proposal will be incorporated by reference into the final Agreement.

PIER Terms and Conditions are available at the Web Sites identified on page ii of this RFP. The Commission recommends that both the Bidder and its subcontractors, including their legal counsel, carefully review the Agreement terms and conditions before deciding to submit a proposal.

#### **Agreement Cancellation**

The Commission reserves the right to terminate any Agreement awarded through this RFP by providing a 30 day notice to the successful Bidder.

#### **No Agreement until Signatures and Approvals are in Place**

The proposed Agreement between the Commission and the successful Bidder is not in effect until the Agreement is signed by all of the parties, which includes approval at a Commission Business Meeting, Bidder signature, Energy Commission signature, and approval by DGS-OLS.

#### **Agreement Amendment**

An Agreement executed as a result of this RFP can be amended by mutual consent of the Commission and the Contractor following the current Commission procedure for amending an Agreement, which may include approval by DGS-OLS.

#### **Audit**

The Bureau of State Audits may audit an Agreement awarded under this RFP up to a period of three years after the final payment or termination of the Agreement.

#### **Subcontractors**

The Bidder must submit the information required in the Project Team Section of the proposal for all Major Subcontractors (those who are budgeted for 25% of the total award or \$100,000, whichever is less, or are a DVBE subcontractor) as well as the budget forms.



## IV. ADMINISTRATIVE INFORMATION

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The Contractor is responsible for the quality of all subcontractor work, and may only replace subcontractors as specified under the Agreement Terms and Conditions.

### **Prevailing Wage**

Some projects under this RFP might be considered public works pursuant to the California Labor Code. If the project is a public work, prevailing wage is required. The California Department of Industrial Relations (DIR) has jurisdiction to decide whether a particular project is or is not a public work. If your project involves construction, alteration, demolition, installation, repair or maintenance work, it probably would be considered by DIR to be a public work. A few of the activities that would probably lead DIR to find that the project involves public works include: cement work, site preparation such as grading, surveying, electrical work such as wiring, and carpentry work. Certain workers are entitled to prevailing wage such as operating engineers, surveyors, carpenters, laborers, etc. However, other trades are not entitled to prevailing wage such as engineers and project superintendents.

Bidders are encouraged to determine if the proposed project involves public works as soon as possible. In order to determine if the proposed project involves public works, you will need to contact DIR. If the Bidder has not received a determination from DIR that the project is not a public work, your budget must provide for the payment of prevailing wages. Please indicate whether the proposed budget includes prevailing wage.

If the proposed project is a public work, DIR maintains a list of covered trades and the applicable prevailing wage. The agreement will include the requirements for a public works project, such as paying prevailing wage, keeping payroll records, complying with working hour requirements, and apprenticeship obligations. See the sample terms and conditions, the Special Condition regarding Prevailing Wage, and the accompanying forms for more information.

For detailed information about prevailing wage and the process to determine if the proposed project is a public work, see Attachments 19-21.

### **California Environmental Quality Act (CEQA)**

Some of the projects selected for funding may meet the definition of a “project” for purposes of CEQA (see Public Resources Code section 21000 et seq.). If this occurs, the Energy Commission’s Legal Staff will review the projects to determine whether an exemption applies that would prevent further actions under CEQA. If no exemption applies, certain CEQA requirements (e.g., preparation of a negative declaration or environmental impact report) will have to be met prior to the Energy Commission approving the agreement. The Bidder will have to pay the cost for these activities (please refer to Title 20, California Code of Regulations, Chapter 6, Article 1, including section 2308).

### **Key Words and Their Definitions**

**Agreement:** The Agreement signed by the Bidder and the Commission, and approved by the California Department of General Services.

**Agreement Budget:** The proposed Commission-reimbursable expenditures **AND** the Contractor's match fund expenditures for that portion of the project covered by the Agreement term.

**Agreement Term:** The start and end dates stated in the Agreement between the Commission and the Contractor. The project may be shorter than, coincide with, or extend beyond, the Agreement term. However, all Commission reimbursed and matched activities must occur during the Agreement term.

**Application:** How a technology, once it is developed, is used to achieve a desired result or objective.

**Bidder:** Organization submitting a proposal to this RFP.

## IV. ADMINISTRATIVE INFORMATION

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**Contractor:** A Bidder, after an Agreement with the Commission has been signed and approved.

**Cost Points:** The portion of the proposal evaluation dedicated to budgetary and project funding criteria.

**Deliverable:** Deliverables are products that incorporate the knowledge and understanding gained by performing the activities and that are submitted to the Commission for review, comment and approval.

**Demonstration:** Showing the operation or working of a commercial configuration of a product or process.

**Development:** Advancing technological progress towards a final product or process.

**DGS:** State of California, Department of General Services.

**DGS-OLS:** State of California, Department of General Services, Office of Legal Services.

**Equipment:** An item or group of items having a useful life of at least one year, having an acquisition unit cost of at least \$5,000, and purchased with Commission funds. **Equipment** means any products, objects, machinery, apparatus, implements or tools purchased, used or constructed within the project, including those products, objects, machinery, apparatus, implements or tools from which over thirty percent (30%) of the equipment is composed of materials purchased for the project. For purposes of determining depreciated value of equipment used in the Agreement, the project shall terminate at the end of the normal useful life of the equipment purchased, funded and/or developed with Commission funds. The Commission may determine the normal useful life of such equipment.

**Goal:** For the purposes of the RFP, the desired outcome for California ratepayers and customers that the proposed work will strive to achieve.

**Innovation:** Previously unknown, unused, or not broadly adopted combination of methods, materials, processes, or conditions.

**Key Partners:** Participants in the project who are not receiving PIER funds or are not providing match funds but are integral to the outcome of the project. Key Partners may be providing space, testing facilities, demonstration sites or may be a manufacturer or other implementer of the project results.

**Key Personnel:** Employees or consultants of the Contractor who are critical to the outcome of the project and are being paid with PIER funds. Key Personnel have expertise in the project field or experience that is not available from another source. Replacing these individuals may be difficult, because of their expertise, which may affect the outcome of the project.

**Key Subcontractors:** Contractors, subcontractors, or vendors to the Contractor who are critical to the outcome of the project and are being paid with PIER funds. Key Subcontractors have expertise in the project field or experience that is not available from another source. Replacing these subcontractors may be difficult because of their expertise, which may affect the outcome of the project. Subcontractors who are DVBES are also considered Key Subcontractors.

**Major Subcontractors:** Contractors, subcontractors, or vendors to the Contractor who are budgeted to receive at least \$100,000 or 25% of the total PIER contract funds (whichever is less) and must provide detailed budget forms.

**Milestone:** A significant point in the performance of the project. Examples include the Critical Project Review, the completion of a task, the submittal of a deliverable, the completed installation of a piece of hardware, and the initial operation of a new system.

**Minor Subcontractors:** Contractors, subcontractors, or vendors to the Contractor who are budgeted to receive less than \$100,000 or 25% of the total PIER contract funds (whichever is less) and do not need to provide detailed budget forms.

## IV. ADMINISTRATIVE INFORMATION

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**Objective:** Specific strategies to achieve a goal.

**Partnerships:** In the context of this RFP, “partnerships” are defined broadly to encompass a variety of cooperative relationships such as vendor/customer relationships, government/private sector cooperation, or other business relationships which may or may not be contractual in nature.

**Private Benefit:** Private benefit is an economic return or profit that the Bidder or a member of the team acquires for its own advantage.

**Project:** An RD&D effort intended to advance a specific science and/or technology that is guided by a set of goals and objectives and that is implemented according to a valid technical approach.

**Proposal:** The formal written response to this RFP from the Bidder. If the Commission funds the proposal, the proposal will be expressly incorporated into the Agreement.

**Public Benefit:** A project produces public benefits if it achieves one or more of the following five objectives: (1) improves energy cost or value, (2) improves the environment, public health and safety, (3) improves energy reliability, quality or sufficiency, (4) strengthens the California economy, and (5) provides consumer choice.

**RD&D:** Research, Development, and Demonstration

**RFP:** Request for Proposal. (This entire document) The competitive process for selecting Contractor(s) to provide services for the benefit of the Energy Commission and the public.

**Research:** The careful, systematic, and reasonably thorough study and investigation in a particular field of knowledge, for the purpose of discovering or establishing facts or principles and developing a product or process.

**Stakeholder:** An entity, such as an individual, corporation, trade organization, end user, research organization, university, regulatory body, government agency, financial organization, sponsor, or marketer that has a title, financial share, special skill or resource, mandated responsibility, or other direct interest in the undertaking to develop, enable, negotiate, deploy, or commercialize a technology.

**State:** State of California.

**Subcontractor:** For the purposes of this RFP, contractors, subcontractors, or vendors to the Contractor.

**Successful Bidder:** A Contractor and Bidder whose project proposal is accepted by the Energy Commission to be implemented by an Agreement.

**Task:** A distinct effort that includes a goal, a description of related activities, a list of deliverables, a schedule, and a budget.

**Technology:** The body of knowledge, system component, device, manufacturing technique, material, etc. that will be improved as a result of the project proposed by the Bidder.

**Technology Transfer:** Dissemination of technical knowledge and knowhow and the transfer of developed technology and products from research stage to deployment stage.

## V. **PROPOSAL FORMAT AND REQUIRED DOCUMENTS**

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### **About This Section**

This section contains the detailed technical and mandatory proposal format requirements, and the approach to be used by the Bidder for the development and presentation of proposal data. The format is prescribed to assist the Bidder in meeting State bidding requirements and to enable the Commission to evaluate each proposal uniformly and fairly. Format instructions must be adhered to, all requirements and questions in the RFP must be responded to, and all required data must be supplied.

### **Limitation in the Proposal Format and Length**

Proposals must be presented in a clear, complete, and concise manner. The Volume 2 Table of Contents, Attachment 13 and Attachment 14, excluding the Appendices, should be kept to a combined maximum of thirty (30) pages of text. Bidders are strongly encouraged to limit the length of their proposals, while adequately covering the proposal requirements.

Bidders who believe that supporting documentation or additional explanations exceeding the thirty (30) page limit are needed may attach such information in appendices to their proposal. Appendices are appropriate for items such as calculations of public and private benefits and associated discussions, calculations of performance enhancements resulting from successful completion of the proposed work, and summaries of accomplishments from previous RD&D projects that are relevant to the proposed project.

### **Required Format for a Proposal**

All proposals submitted under this RFP must be typed or printed using a standard 11-point font, single-spaced and a blank line between paragraphs. Pages must be numbered and sections titled. Spiral or comb binding is preferred. Binders, colored photographs and colored graphs are discouraged.

Bidders **must submit** the original and **7 paper** copies of Volume 1 and Volume 2. Submittals must be printed front to back.

Bidders **must also submit** electronic files of the proposal on **CD-ROM diskette** along with the paper submittal. Electronic files must be in Microsoft Word XP or 2002 and Excel Office Suite formats. Electronic files submitted via e-mail will not be accepted.

Organize your proposal as follows (note: not all sections applicable to all proposals):

#### **Volume 1      Administrative Section**

Cover letter

Application and Project Information Form

Attachment 1

Contractor Certification Clauses

Attachment 2

Disabled Veteran Business Enterprise Program Requirements Forms

Attachments 5 & 6

California-Based Entity Questionnaire

Attachments 8

Target Area Contract Preference Act Form (Std. 830)

Attachment 9

Enterprise Zone Act Preference Request Form (Std. 831)

Attachment 10

Local Agency Military Base Recovery Area Form (Std. 832)

Attachment 11

Darfur Contracting Act

Attachment 12

## V. **PROPOSAL FORMAT AND REQUIRED DOCUMENTS**

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### Volume 2      Technical and Cost Section

#### Table of Contents

Executive Summary	Attachment 13
Project Description	Attachment 14
Project Manager and Project Team	Attachment 14
Project Funding and Match Funding	Attachment 14
Royalty Payment Exemption	Attachment 14
Scope of Work	Attachment 16, Exhibit A
Schedule of Deliverables & Due Dates	Attachment 17, Exhibit A-1
Detailed Budget	Attachment 17, Exhibit B
List of Contacts, Key Personnel, and Key Subcontractors	Attachment 17, Exhibit F
Customer References	Attachment 18

#### Appendices:

- ☐ Team Resumes
- ☐ Match Funding Letters of Commitment
- ☐ Other supporting documentation, if applicable

### **Volume 1 - Administrative Information**

The following is a list and brief description of the items (sections) that must be submitted in Volume 1 of each proposal. Bidders should carefully read this format and content information (along with the technical eligibility, completeness and feasibility criteria, as well as the technical and policy evaluation criteria) to understand the relative importance of the information being requested in the Bidder's proposal. The following sections must be included, complete, and accurate, or the proposal will fail the completeness screening and will be rejected prior to technical evaluations.

#### Cover Letter

The Bidder must submit a cover letter on company letterhead signed by a person who has the authority to bind the Bidder to an Agreement for the proposed work. The letter must include the category team they are applying for in the RFP.

#### Application and Project Information Form, Attachment 1

Complete the Application and Project Information Form. Have a person who is authorized to sign Agreements for your company sign the original of this form as the "Authorized Official." Note that Articles of Incorporation, Partnership Agreement, and Fictitious Name Filing, where appropriate, are requested under Item Number 6, Type of Entity or Business Organization.

### **Required Administrative Forms and Documents**

#### Contractor Certification Clauses Package, Attachment 2

These are standard terms and conditions required to enter into an Agreement with the State of California.

#### Disabled Veteran Enterprises Participation Compliance, Attachments 4, 5 & 6

Public Contract Code Part 10115, et seq., and Title 2, California Code of Regulations, Part 1896.62, require all Contractors who are not governmental agencies to pursue Disabled Veteran Business Enterprise (DVBE) participation in their project. Bidders must have three (3) percent DVBE participation in the project. Failure to comply with this requirement by submitting complete DVBE documentation in the proposal will result in immediate rejection of the bid and disqualification from eligibility and completeness screening, technical evaluation scoring and Agreement award.

## **V. PROPOSAL FORMAT AND REQUIRED DOCUMENTS**

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Use Attachments 5 and 6 to document DVBE participation. It is important that Bidders thoroughly read the instructions provided in Attachment 4.

### Small Business Preference, Attachments 3

Bidders who qualify as a State of California certified small business or who self-certify under the Federal Government statutes as a small business will receive five percent (5%) preference points based on the cost points received by the highest scored proposal, if the highest scored proposal is submitted by a business other than a certified small business. Instructions for becoming certified by the State of California as a small or disabled veteran owned business is contained in RFP Attachment 3.

### California-Based Entity, Attachments 7 & 8

Public Resources Code Section 25620.5(h & i) requires the PIER Program to give priority to “California-based entities” (CBEs) when making awards. To implement this law, the Energy Commission will award preference points if the proposal meets the criteria for a CBE as described in Attachment 7.

### Darfur Contracting Act of 2008, Attachment 12

Effective January 1, 2009, all Requests for Proposals (RFP) must address the requirements of the Darfur Contracting Act of 2008 (Act). (Public Contract Code sections 10475, et seq.; Stats. 2008, Ch. 272). The Act was passed by the California Legislature and signed into law by the Governor to preclude State agencies generally from contracting with “scrutinized” companies that do business in the African nation of Sudan (of which the Darfur region is a part), for the reasons described in Public Contract Code section 10475.

## **Volume 2 – Technical and Cost Information**

The following is a description of the items (sections) that must be submitted in Volume 2 of each proposal. Bidders should carefully read this format and content information (along with the eligibility, completeness and feasibility criteria, and the evaluation criteria presented above) to understand the relative importance of the information being requested in the proposal. The following sections must be included or the proposal will fail the completeness screening and will be rejected prior to technical evaluations.

Below is a detailed description of the information the Bidder should present in Volume 2.

### Table of Contents

### Executive Summary, Attachment 13

Bidders must use this template to prepare an Executive Summary (no more than two [2] pages). The instructions provided in Attachment 13 will guide the Bidder in completing this section of the proposal.

### Project Description, Attachment 14

Bidders must use the template provided to document the proposed project description. The instructions provided in Attachment 14 will guide the Bidder in completing this section of the proposal.

### Project Manager and Project Team, Attachment 14

Bidders must use the template provided to document the proposed Project Manager and project team. The instructions provided in Attachment 14 will guide the Bidder in completing this section of the proposal.

### Project Funding and Match Funding, Attachment 14

Bidders must use the template provided to document the proposed project funding and match funding. The instructions provided in Attachment 14 will guide the Bidder in completing this section of the proposal.

## **V. PROPOSAL FORMAT AND REQUIRED DOCUMENTS**

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### Royalty Payment Exemption, Attachments 1 & 14

Bidders must check the box for request for Royalty Payment Exemption on Attachment 1 and document the reason for such request on Attachment 14.

### Project Scope of Work, Attachments 15 & 16, Exhibit A

Bidders must use the template provided to describe the proposed project scope of work. There are detailed instructions to complete Attachment 16 provided in Attachment 15, as well as examples, to facilitate the preparation of this section of the proposal.

### Schedule of Deliverables & Due Dates, Attachment 17, Exhibit A-1

Bidders must provide a completed Schedule of Deliverables and Due Dates following the instructions contained in that attachment.

### Detailed Budgets, Attachment 17, Exhibit B

Bidders must provide completed budget templates, following the instructions contained in that attachment. Failure to provide unloaded rates and detailed break-out of fees will result in rejection of the entire proposal for completeness.

### List of Contacts, Attachment 17, Exhibit F

Bidders must complete the List of Contacts.

### Customer References, Attachment 18

Bidders must list a minimum of three (3) Customer References for projects related to the work being proposed. Continuation sheets may be used as needed.

### Appendices

Bidders must attach all information not covered in the previous forms as appendices, including but not limited to: resumes of Key Personnel and Key Subcontractors, PAC letters, match letters, etc.

## VI. RFP ATTACHMENTS

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### TABLE OF CONTENTS

Attachment No.	Attachment Title	
	VOLUME 1 FORMS	
1	Application and Project Information Form	
2	Contractor Certification Clauses	
3	Certified Small/Micro Business & Non-Small Business Information	
4	Certified Small/micro Business, non-small business and DVBE Certification Instructions	
5	California Disabled Veteran Owned Business Enterprise Program Requirements Form (Std. 843)	
6	Bidder Declaration (GSPD-05-105)	
7	California-Based Entity Requirements	
8	California-Based Entity Questionnaire	
9	Target Area Contract Preference Act Form (Std. 830)	
10	Enterprise Zone Act Preference Request Form (Std. 831)	
11	Local Agency Military Base Recovery Area Form (Std. 832)	
12	Darfur Contracting Act	
	VOLUME 2 FORMS	
13	Executive Summary Form	
14	Project Description, Project Manager and Project Team, Project Funding and Match Funding, and Royalty Payment Exemption	
15	Scope of Work Instructions	
16	Scope of Work Template	
17	Exhibit A-1, Exhibit B, and Exhibit F	<u>28 Pages Total</u>
	Budget Workbook Instructions	<u>Pages 1- 8</u>
	Exhibit A-1, Schedule of Deliverables and Due Dates	<u>Pages 9-10</u>
	Exhibit B, Budget Forms	<u>Pages 11-27</u>
	Exhibit F, List of Contacts	<u>Page 28</u>
18	Customer References	
	REFERENCE	
19	Prevailing Wage Compliance Qs & As	
20	Prevailing Wage Special Condition	
21	Prevailing Wage Compliance Certificate	

*Note that several of the RFP Attachments (labeled Exhibits) will become part of the Agreement that is signed by the awarded Bidder.*